

Electronic Acknowledgement Receipt

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Application Number:	10655409
International Application Number:	
Confirmation Number:	6575
Title of Invention:	Computer-implemented securities trading system with a virtual specialist function
First Named Inventor/Applicant Name:	Timothy M. Keiser
Customer Number:	63710
Filer:	Glen Farbanish/LAURA ALTO
Filer Authorized By:	Glen Farbanish
Attorney Docket Number:	98-HSX001-C5
Receipt Date:	03-NOV-2009
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Time Stamp:	15:43:46
Application Type:	Utility under 35 USC 111(a)

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Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/Message Digest	Multi Part/.zip	Pages (if appl.)
1	NPL Documents	Advisory_Action_for_US_Application_Serial_No_10-822484_mailed_060814_3pgs.pdf	123133 d2596db48118677aefbc10ec09fae201d5a60592e	no	3

Warnings:

Information:

2	NPL Documents	11-279997_Office_Action_01-1 4-09.pdf	445885 4fb1c077ca5fb84e9242b844c8036956e1 9054	no	15
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3	NPL Documents	11-279997_Interview_Summar y_07-09-09.pdf	61706 c185e994a618f800d00b51451924948f7 684	no	2
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4	NPL Documents	11-279997_Interview_Summar y_06-22-09.pdf	61321 .6fb1c378192e2bc53348b441518fb-24529b 5eef	no	2
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5	NPL Documents	10-822484_Interview_Summar y_03-22-07.pdf	170823 51f10c1e948a8c5848c3120d5588f503 5a524	no	3
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6	NPL Documents	10-822484_Interview_Summar y_07-10-09.pdf	165927 970e079d802e6e8158b0d2715c17ch3e7 8b19	no	4
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7	NPL Documents	10-301527_Office_Action_10-0 8-03.pdf	212137 a0357066fb653d117509f33436fbff4 b3b20	no	6
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8	NPL Documents	10-301527_Office_Action_07-2 8-04.pdf	235404 c7e3f12944bc5765d94e4e495cc9d76d4c 5c3	no	6
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10	NPL Documents	10-301527_Office_Action_04-2 5-05.pdf	492959 c1bb02629760441577e92febf097d34b 5eef7	no	10
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11	NPL Documents	11-351614_Office_Action_09-1 9-07.pdf	512474 6/2/2013 10:00:00 AM 35620	no	11
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Warnings:
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12	NPL Documents	11-351614_Office_Action_10-0 2-08.pdf	679436 5/28/2013 10:00:00 AM 30444	no	15
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13	NPL Documents	09-382907_Office_Action_09-1 2-00.pdf	475114 4/2/2013 10:00:00 AM 96ee	no	11
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14	NPL Documents	09-382907_Office_Action_05-2 9-01.pdf	310311 4/6/2013 10:00:00 AM 912d	no	9
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18	NPL Documents	11-189262_Office_Action_01-1 1-08.pdf	901406 8/3/2013 10:00:00 AM 8802	no	23
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21	NPL Documents	NPL_PTO_Office_Action_11189 262_08-21-2009.pdf	665946 6c30b7b7572bd0e6e977529ecb30429454c 38e25	no	19		
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22	NPL Documents	NPL_PTO_Office_Action_10667 755_01-12-2009.pdf	655238 36f3ee55fe115c291d4750d330516ecf -1bf	no	19		
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27	NPL Documents	NPL_PTO_Office_Action_10667 923_08-31-2007.pdf	443339 4199ed0996e400bed1b8ec0ca340d18a32af -d8c3f	no	9		
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29	NPL Documents	NPL_PTO_Office_Action_10667 923_04-16-2008.pdf	115647 2e0c34e6a298a9963523ab31304d3aaef991a 18401	no	3
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37	NPL Documents	NPL_Big_Names_Raise.pdf	187767 b28bb4e1d7a25b6c27b16018b495eaf 7f9198	no	3
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38	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_050506_5pgs.pdf	180755 e7e86308364b73805c355fb3353fb27554 dfe4	no	5
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41	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_061201_8pgs.pdf	314417 e96122988be6be1a1a1a0a6c694395daffc 5a13b	no	8
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42	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_070605_15pgs.pdf	544181 62890a27519b75c5e1199a69514153c70 488930	no	15
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43	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_071120_15pgs.pdf	566452 ecc0f8de94d2c5a48480855c940f61844 3a695	no	15
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44	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_080617_21pgs.pdf	783630 59177cfa03fead11ba09973ae1d5232 3a34	no	20
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45	NPL Documents	NPL_PTO_NOA_10822484_10-01-2009.pdf	729677 3d36f98e6691fdde6330bf57d320a3f6c 80ef	no	19
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46	NPL Documents	09-465607_ExaminerInterview_Summary_mailed_010524.pdf	77266 ff0a1a3ee1a0d0e10a19224b22263f 0e118	no	2
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47	NPL Documents	11-379171_Office_Action_091006.pdf	918351 0552c2aef980ca3a8e96b2cc0bbbea15708b5	no	28
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48	NPL Documents	09-382907_Advisory_Action_030903.pdf	111174 26ccca140f7fb506c590be02995b27f350cd983	no	3
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49	NPL Documents	08-620906_Office_Action_Mail ed_980515.pdf	401555 23771ba11c5d1-6699-9b8c192b8bb627b2 0f327	no	14
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50	NPL Documents	08-620906_Office_Action_Mail ed_981201.pdf	245180 f9b3ce18c726b8db015ad98c14e7e71b9 907d	no	9
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52	NPL Documents	09-184571_Office_Action_Mail ed_000623.pdf	438548 f114bca6572b4f8d8fca9857015bc447c2 4096	no	13
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53	NPL Documents	09-184571_Office_Action_Mail ed_010123.pdf	157341 55ce06cc10d2a64b038c4d400e6a9b717f 882a	no	6
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Warnings:
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54	NPL Documents	09-184571_Office_Action_Mail ed_010425.pdf	73268 99d36a150c2bd8f14eb5c33d9f20979b794 a743c4	no	2
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55	NPL Documents	09-184571_Notify_of_Allowance_Mailed_021104.pdf	203579 8081d921a6a13d22c38bc1b27b4c0f657c2e32	no	4
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56	NPL Documents	60-462176_Application.pdf	194681 91010fb7fa00deeb4ab5e727e6b61f9bc 703e9	no	3
Warnings:					
Information:					
		Total Files Size (in bytes):		21135178	
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p>New Applications Under 35 U.S.C. 111 If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p>National Stage of an International Application under 35 U.S.C. 371 If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p>New International Application Filed with the USPTO as a Receiving Office If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					